UNITED
NATIONS

ST

Secretariat

ST/AI/409
4 August 1995

ADMINISTRATIVE INSTRUCTION

To: Heads of departments and offices

From: The Under-Secretary-General for Administration and Management

Subject: RESTRUCTURING OF SECRETARIAT DEPARTMENTS AND OFFICES

1. In connection with the implementation of section I.E of General Assembly resolution 48/218 A, of 23 December 1993 on the review of the efficiency of the administrative and financial functioning of the United Nations, the Secretary-General submitted to the General Assembly, at its forty-ninth session, his report entitled "Establishment of a transparent and effective system of accountability and responsibility" (A/C.5/49/1).

2. In paragraph 27 of that report, the Secretary-General, inter alia, stated that "A number of Secretary-General's bulletins in the ST/SGB/Organization series have been reviewed and revised as necessary, particularly those relating to areas of the Secretariat that have been affected by the restructuring. The work is continuing and it is expected that, by the end of the year [1995], most of the required bulletins will be issued". Accordingly, it is essential that programme managers submit, in line with their approved medium-term plan/revised medium-term plan and the guidelines provided in the new format for the medium-term plan (1998-2001), in particular, paragraphs 6, 10 and 11, a draft of their authorized functions along with the proposed organizational structure to this Office no later than 30 September 1995. The instruction does not apply to those organizational units for which the appropriate section of ST/SGB/Organization has been issued since 1993.

3. Starting with departments and offices affected by structural changes, the updating of most of the Organization Manual is targeted for completion by December 1995. Requests for revisions to the approved organizational structure and functions of the Secretariat departments and offices shall be based on the stipulation of regulation 3.11. 1/ This regulation provides, inter alia, that the medium-term plan shall be revised as necessary every two years to incorporate required programme changes, and that the proposed revisions shall be as detailed as required to incorporate the programme implications of the

resolutions and decisions adopted by the intergovernmental organs or international conferences since the adoption of the plan.

4. In order to maintain a uniform approach in preparing and drafting the Organization Manual, the programme managers should follow the attached guidelines. The Organization Management Unit which is established in the Office for Human Resources Management will provide advice on the preparation of the Organization Manual and will ensure that proposals for reorganization meet established guidelines and norms and assist the departments and offices in eliminating duplication of activities and overlap within, and with, other organizational entities performing similar tasks.

5. Authorized and approved texts of the functions and organizational structure of departments and offices are published in separate sections which will constitute the final form of the Organization Manual of the Secretariat.

6. The present administrative instruction supersedes document ST/AI/346 of 5 November 1987, effective immediately.

Notes

1/ Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (ST/SGB/PPBME Rules/1(1987)).

Annex

GUIDELINES FOR THE PREPARATION OF ST/SGB/ORGANIZATION

1. A compilation of guidelines and procedures for the preparation of the Organization Manual is provided below. These guidelines are intended to provide a standardized road map for programme managers in establishing an organizational structure along functional lines, minimizing duplication and overlap within, and with, other organizational entities performing similar tasks.

2. The Organization Manual is a management tool and should contain standardized descriptions of the functions, overall responsibilities and the structure of those departments/offices that are financed fully or partly from the regular budget of the United Nations. It does not, therefore, include descriptions of functions and organization of units that are exclusively supported by extrabudgetary funds or are autonomous.

How to prepare the Organization Manual

3. The step-by-step instructions provided below should be followed in the preparation of various segments of the draft organizational structure and functions of the departments/offices of the Secretariat:

(a) Overview

A brief historical background of the office/department and a reference to its legislative authority;

(b) Mandate

A statement of goals and objectives of an organizational entity as approved by the General Assembly and as identified in the medium-term plans/revised medium-term plans;

(c) Description of functions

Each organizational element should be properly linked with the implementation of its mandated tasks. The nature of its mandated tasks are identified in the medium-term plans/revised medium-term plans. The tasks assigned to an organizational entity should be in conformity with its mandated output. According to instructions providing for the new format of the medium-term plan for 1998-2001, subprogrammes should correspond to organizational units, normally at the level of a division, in order to ensure appropriate coordination, and to avoid duplication of activities within and with other organizational elements of an office or department. An overall coordination mechanism in the immediate "Office of the Head" is essential to ensure proper monitoring, oversight and accountability functions;

(d) Main organizational elements

This section should contain a description of functions entrusted to the following entities:

(i) "Head" of the department/office (Under-Secretary-General/ Assistant Secretary-General);

(ii) Office of the Head;

(iii) Executive/administrative unit(s);

(iv) Other components, i.e.: Centre, Division, Branch, Section, Unit;

A model statement is provided in appendix I:

Special functions of the Head

4. The general administrative and managerial tasks of the Head of a department/office are described in the Introduction to the Organization Manual and, therefore, need not to be repeated in the draft submission. All specific/ substantive functions performed by the Head, however, may be listed in this section;

Special functions of the Deputy

5. Similarly, the description of common responsibilities assigned to a Deputy is also provided in the Introduction to the Organization Manual. All substantive and specialized functions assigned to this post, should, however, be enumerated;

Office of the Head

6. The Office of the Head of the department/office (Office of the Under-Secretary-General, Office of the Executive Secretary, etc.) is a separate entity from the position of Under-Secretary-General/Assistant Secretary-General. Normally, in such offices, there are one or two Professional staff members who provide staff support services to the Head. This may typically include a Special Assistant. Exceptionally, individual posts/organizational elements bearing a collective name (unit, section, etc.), with specific substantive functions, may be located within such offices if the functions of the individual post(s)/organizational elements do not fit into any of the line elements or if the elements are too small to be set up as a discrete line element. The description of functions of these posts/elements should, therefore, be included in the tasks of these offices. Appendix II provides various options;

Executive office or administrative unit

7. The functions of an executive office or administrative unit are also described in the Introduction to the Organization Manual. The usual practice for these units is to report directly to the Head of an organizational entity. If administrative officers attached to the department/office are not identified by any collective term (e.g. unit), their functions should be included in the

description of the Office of Under-Secretary-General/Assistant Secretary-General of the Department;

Other components/organizational elements

8. In describing the functions of the substantive and specialized units, it is essential that the objectives of the programme/subprogrammes and the course of actions specified for their implementation in the medium-term plan be taken into account. Appendix I may serve as a model;

Organizational chart

9. The narrative on the organizational structure and the functions should be accompanied by an organizational chart identifying the structure, substructures of a department/office, its administrative hierarchies and its chain of command (a sample chart is provided in appendix III). It is important to ensure that the description of functions follows the chain of command of the organizational elements. In preparing an organizational chart, the organizational nomenclature standards should be applied (see appendix IV):

Basic information required for review of ST/SGB/Organization submissions

10. In accordance with the provisions of bulletin ST/SGB/150/Rev.1, the draft organizational structure and description of functions of all organizational entities should be submitted to the Office of the Under-Secretary-General for Administration and Management for review and approval. It is essential, therefore, that the draft submissions are accompanied by the following documents, wherever feasible:

(a) A detailed incumbency/staffing table, including an appropriate title for each post, its source of funding (regular/extrabudgetary) and the duration for which such posts are made available to the organizational unit;

(b) Job descriptions: official job descriptions (if available) for head of department/office, the deputy, staff office, executive office/administrative unit and line supervisors;

(c) A combined organizational chart and staffing resources for each organizational element;

(d) Copies of relevant portions of medium-term plan/revised medium-term plan, General Assembly resolutions and other legislative instruments and directives;

(e) Clear definition of each substantive unit and specific elements of medium-term plan and its assigned output.

Publication and distribution

11. Upon completion and approval by the Secretary-General of the document containing the text of the organizational structure and functions (ST/SGB/Organization), it will be issued in the six official languages of the United Nations and published as an official document of the Secretariat.

12. The Organization Manual is addressed to members of the staff. This includes all members of the staff appointed by the Secretary-General under the Staff Regulations and Rules who should have easy access to the Manual and should know of its existence and availability. Distribution of the Manual and related material within departments is the responsibility of executive/administrative officers. Supervisory personnel at all levels are expected to retain a copy of the Manual for reference purposes.

Appendix I

MODEL STATEMENT OF FUNCTIONS AND ORGANIZATION

DEPARTMENT/OFFICE OF _____

An overview

(Please provide a short historical background and a reference to the relevant legislative mandate of the office)

Example

The Economic and Social Commission for ___ and the ___, formerly known as the Economic Commission for ___ and the ___, was established under Economic and Social Council resolution ___. The functions of ___, as well as of other regional commissions, are described in their founding resolution referred to above, as well as in General Assembly resolution ___.

Mandate a/

The broad functions of the secretariat of ___ are as follows:

To provide substantive and secretariat services for the Commission and its subsidiary organs;

To undertake studies, research and other activities within the Commission's terms of reference;

To provide advisory services to Governments and intergovernmental organizations at their request;

To contribute to the planning and organization of programmes of technical cooperation;

...

Organizational elements and their functions

Executive secretary (Under-Secretary-General)

Performs the functions of a Head of a department/office, as described in the Introduction to the Organization Manual. In addition (describe his/her specialized/substantive functions), e.g.;

Carries out special tasks that may be assigned by the Secretary-General;

Identifies broad strategies required for the development and integration of the region in the world economy;

Promotes the adoption of such strategies in the programme of work of the Commission;

...

Deputy (if any) to the Head of the department/office

Performs the functions of a Deputy, as described in the Introduction to the Organization Manual. In addition (describe his/her other functions), e.g.;

Serves as the Chairman of the Project Review Committee and advises the Executive Secretary on all substantive matters;

...

(a) Office of the Under-Secretary-General, Assistant Secretary-General, etc. (including the function of the Special Assistant)

Performs the functions of a staff office as described in the Introduction to the Organization Manual. In addition describe other functions (if any) ...

(b) Secretary of the Commission

Initiates and ensures the provision of secretariat services to the Commission;

Ensures the timely submission of documents to the Commission, its substantive subsidiary bodies and ...

(c) Executive/administrative office, if any

Performs the function of an administrative/executive office, as described in the Introduction to the Organization Manual.

(d) Programme Planning and Evaluation Division (Section)

Provides assistance to various organizational units of the secretariat of the ___ in the formulation of medium-term plans and in preparation of their programme budget proposals, taking into account mandates emanating from the Commission;

Establishes procedures for systematic monitoring and evaluation of the progress made in the implementation of work programmes and obtains progress reports from organizational units and assists the ___ in reviewing these reports;

...

This organizational entity comprises two units, namely, ...

1. Division of ...

The Division is responsible for the promotion of regional and subregional cooperation in the development of natural resources. It also provides assistance in the formulation of policies and measures for the proper management of land, water and energy resources and assists in the application of environmentally sound technologies in the development of natural and mineral resources in the region. b/

The Division consists of three components, namely, the "Water Research" Section, the "Mineral Resources" Section and the "Energy" Unit.

1.1 "Water Research" Section

Reviews the progress of development of non-conventional water resources in the countries of the region;

Studies the barriers to the adoption of new technologies in the development of such water resources;

Suggests policies and techniques for overcoming the barriers and further development of water resources;

1.2 "Mineral Resources" Section

Provides technical assistance to member States in the compilation, collation and analysis of data, preparation and publication of cartographic inventory atlases, specialized data, maps and remote-sensing capabilities;

Provides assistance in developing and strengthening technical and manpower capabilities among the member States for the effective exploration, inventory, evaluation, planning, management and utilization of mineral resources;

Cooperates with other international organizations and development agencies in efforts to promote the transfer of technology to developing countries for mineral resources management.

Notes

a/ Source: Medium-term plan, goals and objectives of the programme activity.

b/ Subprogramme(s) ___ of programme ___ of the medium-term plan (199_-199_).

Appendix II

OFFICE OF THE HEAD

(Under-Secretary-General, Assistant Secretary-General,
Executive Secretary, etc.)

Model A

(a) Office of the Under-Secretary-General, Executive Secretary, etc.

Performs the functions of a staff office, as described in the Introduction to the Organization Manual.

...

Model B

(a) Office of the Under-Secretary-General, Executive Secretary, etc.

Performs the functions of a staff office, as described in the Introduction to the Organization Manual;

Carries out (describe the substantive functions of officers included in the office);

Performs the functions of an administrative unit, as described in the Introduction to the Organization Manual.

...

Model C

(a) Office of the Under-Secretary-General, Executive Secretary, etc.

(i) Officers providing staff support services

Performs the function of a staff office, as described in the Introduction to the Organization Manual. In addition (describe substantive functions of above-mentioned and other officers, if any).

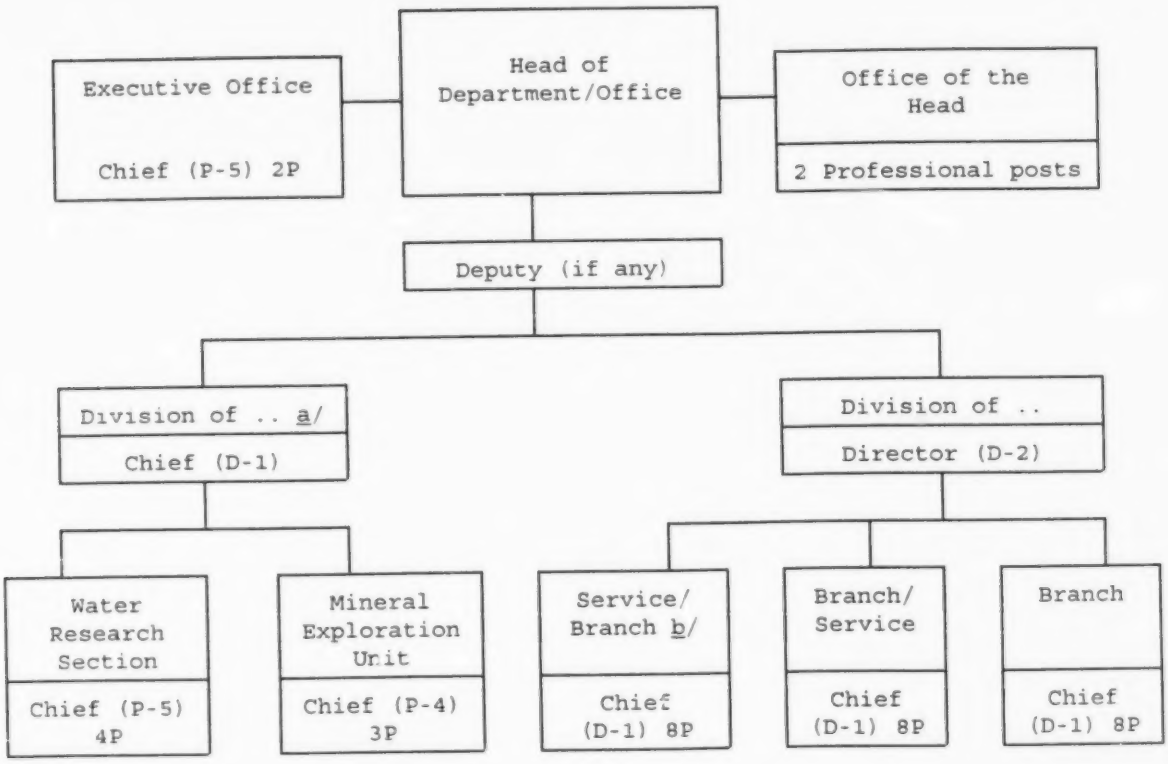
...

Appendix III

ORGANIZATION AND STAFFING CHART

Department/Office of ...

(A sample)



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a/ For regional commissions, Divisions are headed at the D-1 level, and consist of a minimum of eight Professional posts.

b/ The terms "Service" and "Branch" are not applicable to the regional commissions.

/ ...

Appendix IV

NORMS ESTABLISHED BY THE SECRETARY-GENERAL FOR ORGANIZATIONAL NOMENCLATURE a/

Department	A minimum of 30 posts in the Professional category and above, headed by an Under-Secretary-General. For regional commissions, the title of Executive Secretary is used.
Centre	A minimum of 20 posts in the Professional category and above, headed by an officer at the D-2 level, and exceptionally at the ASG level. The term is to be used in exceptional circumstances, e.g., as a result of a decision of the General Assembly or other organs.
Division	A minimum of 15 posts in the Professional category and above, headed by a Director at the D-2 level. (For regional commissions, a minimum of eight posts in the Professional category and above, headed by a Chief at the D-1 level.)
Branch/Service	A minimum of eight posts in the Professional category and above, headed by an officer at the D-1 level with the title "Head of Branch". The term "Service" is to be used for elements whose work is essentially of an administrative support or service nature. The terms "Branch/Service" should not be used in the regional commissions.
Section	A minimum of four posts in the Professional category, headed by a Chief at the P-5 or P-4 level.
Unit	A minimum of four posts and headed by Chief of Unit. For use of the term, there should be a demonstrated need for a designated supervisor and for recognition outside the department/office.

In cases where an organizational element meets the criterion of number of posts, but the level of the head is above the criteria for that level, more weight should be given to number of posts than to level of head.

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a/ For a detailed description, see A/C.5/32/17 of October 1977, General Assembly resolution 32/204 of 21 December 1977, A/C.5/33/6 of 19 September 1978, and Second Report of the Interdepartmental Working Group on Organizational Nomenclature of November 1979.